

SENIOR FINANCIAL INSTITUTIONS EXAMINER
OPEN EXAMINATION - STATEWIDE

STATE OF CALIFORNIA
DEPARTMENT OF FINANCIAL INSTITUTIONS

FINAL FILING DATE: August 30, 2010



IT IS AN OBJECTIVE OF THE STATE OF CALIFORNIA TO ACHIEVE A DRUG-FREE STATE WORK PLACE. ANY APPLICANT FOR STATE EMPLOYMENT WILL BE EXPECTED TO BEHAVE IN ACCORDANCE WITH THIS OBJECTIVE SINCE USE OF ILLEGAL DRUGS IS INCONSISTENT WITH THE LAW OF THE STATE, THE RULES GOVERNING CIVIL SERVICE AND THE SPECIAL TRUST PLACED IN PUBLIC SERVANTS.

WHO MAY APPLY Anyone who meets the minimum qualifications as stated below may apply. Applications will not be accepted on a promotional basis.

HOW TO APPLY Applications are available upon request and may be filed in person or by mail. Resumes alone will not be accepted. For your convenience, you may obtain a copy of the STD 678 on-line at <http://www.dfi.ca.gov/careers>. Applications not submitted on STD 678 will be rejected. FAXED APPLICATIONS WILL NOT BE ACCEPTED. Submit applications to:

DEPARTMENT OF FINANCIAL INSTITUTIONS
Attn: Exam Unit
1810 13th STREET
SACRAMENTO, CA 95811

APPLICANTS MUST PUT EXAM CODE 0SL05 ON THEIR APPLICATION

NOTE: Accepted applicants are required to bring either a photo identification card or two forms of signed identification to each phase of the examination.

SPECIAL TESTING ARRANGEMENTS If you have a disability and need special testing arrangements, mark the appropriate box in Part 2 of the application. You will be contacted to make specific arrangements.

FINAL FILING Application, Form STD 678 (rev. 6/2010) must be **POSTMARKED** no later than the final filing date. Applications postmarked, personally delivered or received via interoffice mail after the final filing date will not be accepted for any reason. Applications not submitted on STD 678 (Rev. 6/2010) will be rejected.

SALARY \$5,561 - \$7,097

Written Test Applicants will be scheduled for the location nearest their residence unless otherwise indicated on the application. Applicants will be notified of the written test in their area at least 10 days prior to the written test date.

REQUIREMENTS FOR ADMITTANCE TO THE EXAMINATION Applicants must meet the education and/or experience requirements for this examination by the final filing date. Your signature on your application indicates that you have read, understood and possess the qualifications required.

Qualifying experience may be combined on a proportionate basis if the requirements stated below include more than one pattern and are distinguished as "Either I", or "Or II", etc. For example, candidates possessing qualifying experience amounting to 50% of the required time of Pattern I, and additional experience amounting to 50% of the required time of Pattern II, may be admitted to an examination as meeting 100% of the overall experience requirement.

MINIMUM QUALIFICATIONS Either I
One year of experience in California state service performing the duties of a class at the level of responsibility equivalent to that of Financial Institutions Examiner, Range C.
Or II
Four years of increasingly responsible experience in professional auditing or examination of financial institutions, business firms, or services. (Experience in California state service applied toward this requirement must include two years performing the duties of a class at a level of responsibility equivalent to that of a Financial Institutions Examiner, Range C); **and**

Education: Equivalent to graduation from college with a specialization in accounting, business administration, economics, finance, or a related business/management specialization.

NOTE: Applications must contain the following information on all accounting and related courses completed including: title; semester or quarter credits earned; name of institution; and completion date. You may attach additional pages if necessary. A copy of your college transcripts may also be included. The transcripts can be either official or unofficial.

SPECIAL PERSONAL CHARACTERISTICS: Ability to qualify for a fidelity bond; willingness to travel and work away from the headquarters office; willingness to work in a variety of settings; capacity for assuming progressively greater responsibility; tact; and good interpersonal skills.

Demonstrated leadership and program planning ability; emotional maturity and stability; objective understanding of the mission of the Department.

ADDITIONAL DESIRABLE QUALIFICATIONS In appraising the relative qualifications of candidates, consideration will be given to the extent and type of pertinent education beyond that is required under "Minimum Qualifications."

SEE REVERSE FOR ADDITIONAL INFORMATION

THE POSITION	<p>This is the advance journey or expert level of the series. The incumbents initiate, develop, or decide plans of action and evaluate and analyze work that is assigned. The status of work or the development of the problem is generally more difficult and there is greater responsibility for decisions and action. Well-developed analytical skills are required at this level.</p> <p>The Senior Financial Institutions Examiner acts as lead person in the most complex examinations or is responsible for investigations where plans or actions must be initiated, developed, or decided upon to a great extent by the incumbent. This level may lead or be assigned special projects by management that require a high degree of self-direction and independent decision making.</p>
EXAMINATION INFORMATION	<p>The testing period for this examination is 12 months which begins when a candidate is successful in the examination and is placed on the eligible list. Candidates may not be examined more than once in a testing period.</p> <p>COMPETITORS WHO DO NOT APPEAR FOR THE WRITTEN TEST WILL BE DISQUALIFIED. Please allow approximately four hours for the completion of the written test.</p>
SCOPE	<p>In addition to evaluating the competitor's relative abilities as demonstrated by quality and breadth of experience, emphasis in the examining interview will be on measuring competitively, relative to job demands, each competitor's:</p> <p>A. Knowledge of:</p> <ol style="list-style-type: none">General accounting and auditing principles and procedures.Business law.Statistics.Information systems programs.The English language with proficiency in reading, writing, and grammar.Laws, policies, rules, and regulations administered by the Department of Financial Institutions.Financial operations and practices of organizations subject to regulation by the Department of Financial Institutions.Purposes, activities, and functions of the Department of Financial Institutions.Regulatory terminology.Applicable Federal rules and regulations and operations of regulatory agencies that work closely with the Department.Specialized accounting and auditing principles.Financial examining practices obtained through on-the-job training and through prescribed training courses.Technical report writing.Complicated practices and procedures of the licensee.Sophisticated data analysis.Public speaking.Procedures, organization, and operations of the Department of Financial Institutions.How to evaluate reports generated by corresponding agencies, the industry, the institution, business firm, or service.Other related agencies.Provision of laws, rules, regulations, related legal opinions, and court decisions governing licensees and related departmental policies. <p>B. Ability to:</p> <ol style="list-style-type: none">Work arithmetical computations.Gather, organize, summarize, and interpret financial data.Analyze data and draw sound conclusions.Prepare reports.Establish and maintain cooperative relations with those contacted in the work.Communicate effectively.Evaluate and appraise information.Analyze situations accurately and take effective action.Use a variety of spreadsheets or word processing software packages.Apply specialized financial examining practices and procedures.Perform detailed portion of financial institutions, business firm, or services examinations.Analyze data and draw sound conclusions.Apply specialized examination practices and procedures.Analyze financial and operating statements, reports, and records relating to licensee operations.Gather, organize, analyze, and summarize financial data and draw logical conclusions.Prepare clear, concise, and accurate reports.Discuss reports of examination and other financial data and hold meetings with executive officers and directors of financial institutions, business firms, and services.Devise procedures and program activities.Lead others in conducting examinations.Plan, organize, and direct the work of others.Coordinate examinations with related agencies.Conduct special studies and investigations relating to the practices of the licensee.Appraise the most difficult and complex types of reports and information.Analyze data and adopt the effective course of action.Communicate effectively so instructions can be clearly understood.Effectively apply the required technical knowledge.Conduct in-service training programs.
ELIGIBLE LIST INFORMATION	<p>A departmental Open list will be established for the Department of Financial Institutions. The list will be abolished 12 months after it is established unless the needs of the services and conditions of the list warrant a change in this period.</p>

**VETERANS
PREFERENCE**

Veterans’ Preference Credit will be added to the final score of all competitors who are successful in this examination, and who qualify for, and have requested these points. Due to changes in the law, which were effective January 1, 1996, VETERANS WHO HAVE ACHIEVED PERMANENT CIVIL SERVICE STATUS ARE NOT ELIGIBLE TO RECEIVE VETERANS’ CREDITS.

GENERAL INFORMATION

It is the candidate's responsibility to contact the DFI Office of Human Resources at (916) 445-3696 three days prior to the written test date if s/he has not received his/her notice; or three weeks after the final filing date if there is no written test.

If a candidate's notice of oral interview or performance test fails to reach him/her prior to the day of the interview due to a verified postal error, s/he will be rescheduled upon written request.

Applications are available at State Personnel Board offices, local offices of the Employment Development Department, the Department noted on the bulletin or on the Internet at <http://www.spb.ca.gov>.

If you meet the requirements stated on the reverse, you may take this examination, which is competitive. Possession of the entrance requirements does not assure a place on the eligible list. Your performance in the examination described on the other side of this bulletin will be compared with the performance of the others who take this test, and all candidates who pass will be ranked according to their scores.

The Department of Financial Institutions reserves the right to revise the examination plan to better meet the needs of the service if the circumstances under which this examination was planned change. Such revision will be in accordance with the civil service law and rules and all competitors will be notified.

Examination Locations: When a written test is part of the examination, it will be given in such places in California as the number of candidates and conditions warrant as determined by the departmental testing office. Ordinarily, interviews are scheduled in Sacramento, San Francisco and Los Angeles. However, locations of interviews may be limited or extended as conditions warrant.

Eligible Lists: Eligible lists established by competitive examination, regardless of date, must be used in the following order: 1) sub divisional promotional, 2) departmental promotional, 3) multidepartmental promotional, 4) service wide promotional, 5) departmental open, 6) open. When there are two lists of the same kind, the older must be used first. Eligible lists will expire from one to four years unless otherwise stated on this bulletin.

General Qualifications: Candidates must possess essential personal qualifications including integrity, initiative, dependability, good judgment, and ability to work cooperatively with others; and a state of health consistent with the ability to perform the assigned duties of the class. A medical examination may be required. In open exams investigation may be made of employment records and personal history--fingerprinting may be required.

Interview Scope: If an interview is conducted, in addition to the scope described on this bulletin, the panel will consider education, experience, personal development, personal traits, and fitness. In appraising experience, more weight will be given to the depth, breadth and recency of pertinent experience and evidence of the candidate's ability to accept and fulfill increasing responsibilities than to the length of his/her experience. Evaluation of a candidate's personal development will include consideration of his/her efforts toward self-development.

Veterans’ Preference: If this examination is an entrance examination as defined in Government Code Section 18973.5, veterans’ preference credits will be added to the final score of all competitors who are successful in this examination and who qualify for, and have requested these points. Due to changes in the law, which were effective January 1, 1996, VETERANS WHO HAVE ACHIEVED PERMANENT CIVIL SERVICE STATUS ARE NOT ELIGIBLE TO RECEIVE VETERANS’ CREDITS. Directions for applying for veterans’ preference are on the Veterans’ Preference Application form which is available from the State Personnel Board office and the Department of Veterans Affairs, P. O. Box 1559, Sacramento, CA 95807.

High School Equivalence: Equivalent to completion of the 12th grade may be demonstrated in any one of the following ways: 1) passing the General Educational Development (GED) Test; 2) completion of 12 semester units of college-level work; 3) certification from the State Department of Education, a local school board, or high school authorities that the candidate is considered to have education equivalent to graduation from high school; or 4) for clerical and accounting classes, substitution of business college work in place of high school on a year-for-year basis.

CALIFORNIA DEPARTMENT OF FINANCIAL INSTITUTIONS ☎ OFFICE OF HUMAN RESOURCES
1810 13TH Street ☎ Sacramento, CA 95811 ☎ Telephone (916) 445-3696

TDD is a Telecommunications Device for the Deaf and is reachable only from telephones equipped with a TDD device.
California Relay (Telephone) Service for the Deaf or Hearing Impaired:
From TDD phones 1-800-735-2929 ☎ Voice 1-800-735-2922